

FRATERNAL SOCIETIES

COMPANY NAME: _____ **NAIC Company Code:** _____
Contact: _____ **Telephone:** _____
REQUIRED FILINGS IN THE STATE OF: Kentucky **Filings Made During the Year 2003**

(1) Check -list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 ½"x14")	xxx	1	xxx	3/1	NAIC	L
	1.1	Printed Investment Schedule detail (Pages E01-E25)	xxx	1	xxx	3/1	NAIC	L
	2	Quarterly Financial Statement (8 ½" x 14")	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	L
	3	Separate Accounts Annual Statement (8 ½"x 14")	xxx	1	xxx	3/1	NAIC	L
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	xxx	1	xxx	4/1	NAIC	L
	11	Interest Sensitive Life Insurance Products Report	xxx	1	xxx	4/1	NAIC	L
	12	Investment Risk Interrogatories	xxx	1	xxx	4/1	NAIC	L
	13	Long Term Care Experience Reporting Forms	xxx	1	xxx	4/1	NAIC	L
	14	Long Term Care Insurance Exhibit	xxx	1	xxx	3/1	NAIC	L
	15	Management Discussion & Analysis	xxx	1	xxx	4/1	Company	L
	16	Medicare Supplement Insurance Experience Exhibit	xxx	1	xxx	3/1	NAIC	L
	17	Risk-Based Capital Report	xxx	1	xxx	3/1	NAIC	L
	18	Statement of Actuarial Opinion	xxx	1	xxx	3/1	Company	L
	19	Statement on non-guaranteed elements – Exhibit 5 Interr. #12	xxx	1	xxx	3/1	Company	L
	20	Supplemental Compensation Exhibit	xxx	N/A	N/A	3/1	NAIC	L
	21	Supplement to Valuation Report	xxx	1	xxx	6/30	NAIC	L
	22	SVO Compliance Certification	xxx	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	L
	23	Trusted Surplus Statement	xxx	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	L
		III. ELECTRONIC FILING REQUIREMENTS						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	32	Separate Accounts Electronic Filing	xxx	1	xxx	3/1	NAIC	
	33	Separate Accounts .PDF Filing	xxx	1	xxx	3/1	NAIC	
	34	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	35	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	36	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		IV. AUDITED FINANCIAL STATEMENTS						
	51	Accountants Letter of Qualifications	xxx	1	xxx	6/1	Company	L
	52	Audited Financial Statements	xxx	1	xxx	6/1	Company	L
	53	Audited Financial Statements Exemption Affidavit	xxx	N/A	1	See "J"	Company	J
	54	Independent CPA	xxx	1	xxx	6/1	Company	L
	55	Notification of Adverse Financial Condition	xxx	1	xxx	6/1	Company	L
	56	Report of Significant Deficiencies in Internal Controls	xxx	1	xxx	6/1	Company	L

	57	Request for Exemption to File	xxx	N/A	1	See “J”	Company	J
		V. STATE REQUIRED FILINGS						
	101	Premium tax	xxx	xxx	See “D”	3/1	State	D
	102	State Filing Fees	xxx	xxx	1	3/1, 6/1	State	C
	103	Affidavit of Filing	xxx	xxx	1	3/1	State	L
	104	Application for Fraternal (Form 385)	xxx	xxx	1	3/1	State	
	105	Certificate on Advertising (Form 440)	xxx	xxx	1	3/1	State	

***If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.**

****If Form Source is NAIC, the form should be obtained from the appropriate vendor.**

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	Paula Woolums (502) 564-6082
	B	Mailing Address:	Department of Insurance P. O. Box 517 Frankfort, KY 40602-0517
	C	Mailing Address for Filing Fees: Each payment must include a check remittance form for the appropriate type of company. Check remittance forms can be obtained via http://doi.ppr.ky.gov/kentucky/ .	Department of Insurance P. O. Box 517 Frankfort, KY 40602-0517 Attention: Gina Goodrich
	D	Mailing Address for Premium Tax Payments:	Kentucky Revenue Cabinet P. O. Box 1303 Frankfort, KY 40602-1303 or Kentucky Revenue Cabinet 1266 Louisville Road Frankfort, KY 40601
	E	Delivery Instructions:	All filings must be postmarked no later than the indicated due date.
	F	Late Filings:	Companies will be fined \$100 per day for a late filing. Companies will be fined a civil penalty of \$1000 without filing for and including proof of an extension from domiciliary state.
	G	Original Signatures:	Original signatures required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions regarding signatures.
	H	Signature/Notarization/Certification:	Per KRS 304.3-240(1) – shall be verified by the oaths of at least two of the insurers' principal officers.
	I	Amended Filings:	Amended items must be filed within 10 days of the amendment, along with an explanation of the amendment. If there are signature requirements for the original filing, same should be followed for the amendment.
	J	Exceptions from normal filings:	Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing date to receive such from Kentucky. Domestic companies should apply at least 30 days prior to due date.
	K	Bar Codes (State or NAIC)	Please follow the NAIC Annual Statement Instructions.
	L	Affidavit of Filing and Financial Statement Attestation: Can be obtained via http://doi.ppr.ky.gov/kentucky/ .	Foreign companies must file the Affidavit of Filing and Financial Statement Attestation by 3/1.
	M	NONE Filings:	Please follow the NAIC Annual Statement Instructions.

	N	Filings new, discontinued or modified materially since last year:	

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels and other information to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The ***Annual Statement Electronic Filing*** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The ***March .PDF Filing*** is .pdf files for annual statement data, detail for investment schedules, Officers and Directors Information and supplements due March 1.

The ***Separate Accounts Electronic Filing*** includes the separate accounts annual statement and investment schedule detail.

The ***Separate Accounts .PDF Filing*** is the .pdf file for the separate accounts annual statement and investment schedule detail.

The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions*.

The ***Supplemental .PDF Filing*** is the .pdf file for all supplements due April 1.

The ***June .PDF Filing*** is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (E) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions

(generally, on its website). If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.